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PTO/SB/21 (02-04)

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/726,971
Filing Date	December 2, 2003
First Named Inventor	Harper, Jack
Art Unit	2133
Examiner Name	Unassigned
Attorney Docket Number	040172-000110US

Total Number of Pages in This Submission

## ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Amendment/Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):  
Return Postcard, copies of four (4) cited references

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Townsend and Townsend and Crew LLP	Reg. No. 43,616
Signature		
Date	7/2/04	

## CERTIFICATE OF TRANSMISSION/MAILING

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Typed or printed name	Nicole Wartell		
Signature		Date	7/2/04



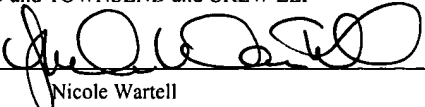
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PATENT  
Attorney Docket No.: 040172-000110US

On July 2, 2004

TOWNSEND and TOWNSEND and CREW LLP

By:   
Nicole Wartell

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Jack Harper

Application No.: 10/726,971

Filed: December 2, 2003

For: OPTICAL CARD BASED SYSTEM  
FOR INDIVIDUALIZED TRACKING  
AND RECORD KEEPING

Examiner: Unassigned

Art Unit: 2133

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

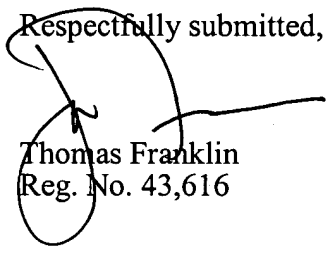
The references cited on attached form PTO/SB/08A are being called to the attention of the Examiner. This application is a Continuation-in-part of and relies upon U.S. Patent Application No. 09/454,717 ("the parent application") for an earlier effective filing date under 35 U.S.C. §120. In accordance with 37 CFR §1.98(d), copies of those references that have been previously submitted to or cited by the Office in the parent application are not enclosed. Copies of references A1, A5, A6, and A7, which have not been previously cited, are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution

of this application, and the references be made of record therein and appear among the  
“references cited” on any patent to issue therefrom.

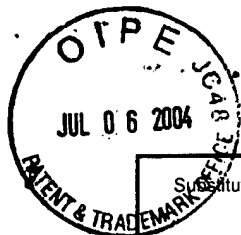
As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the  
information and references cited are prior art merely because they are in this statement and no  
representation is being made that a search has been conducted or that this statement encompasses  
all the possible relevant information.

Applicant believes that no fee is required for submission of this statement.  
However, if a fee is required, the Commissioner is authorized to deduct such fee from the  
undersigned’s Deposit Account No. 20-1430. Please deduct any additional fees from, or credit  
any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

  
Thomas Franklin  
Reg. No. 43,616

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, Eighth Floor  
San Francisco, California 94111-3834  
Tel: 303-571-4000  
Fax: 303-571-4321  
TDF:nmb  
60252940 v1



<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/726,971	
			Filing Date	December 2, 2003	
			First Named Inventor	Harper, Jack	
			Art Unit	2133	
Sheet	1	of	1	Examiner Name	Unassigned
				Attorney Docket Number	040172-000110US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code <sup>2</sup> (if known)			
	A1	US-4,396,914	08-02-1983	Aston	
	A2	US-5,214,699	05-25-1993	Monroe et al.	
	A3	US-5,268,963	12-07-1993	Monroe et al.	
	A4	US-5,412,727	05-02-1995	Drexler et al.	
	A5	US-5,559,885	09-24-1996	Drexler et al.	
	A6	US-5,960,403	09-28-1999	Brown	
	A7	US-6,022,315	02-08-2000	Iliff	
	A8	US-6,266,647 B1	07-24-2001	Fernandez	
	A9	US-6,473,861 B1	10-29-2002	Stokes	
	A10				

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	B1							<input type="checkbox"/>
	B2							<input type="checkbox"/>

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.  
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